

FORM PTO-1390  
(REV. 10-2003)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

536-009.12

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (If known, see 37 CFR 1.5

10/511777  
To be assigned

INTERNATIONAL APPLICATION NO.

PCT/EP03/04215

INTERNATIONAL FILING DATE

April 23, 2003

PRIORITY DATE CLAIMED

April 23, 2002

TITLE OF INVENTION

Semiconductor Capacitor with Praseodymium Oxide as Dielectric

APPLICANT(S) FOR DO/EO/US

Hans-Joachim Mussig et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A preliminary amendment.
14. ☐ An Application Data Sheet under 37 CFR 1.76.
15. ☐ A substitute specification.
16. ☒ A power of attorney and/or change of address letter. (in combination with the declaration)
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information: (PCT/IB/308)

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|--|--|--|--|---|--|
| U.S. APPLICATION NO. (if known, see 37 CFR 1.71)<br><b>10/511777</b><br>To be Assigned |  | INTERNATIONAL APPLICATION NO.<br><b>PCT/EP03/04215</b> |  | ATTORNEY'S DOCKET NUMBER<br><b>536-009.12</b> |  |
|--|--|--|--|---|--|

|  |                              |              |                   |                                  |               |
|--|------------------------------|--------------|-------------------|----------------------------------|---------------|
| 21. <input checked="" type="checkbox"/> The following fees are submitted:<br><b>BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):</b><br>Neither international preliminary examination fee (37 CFR 1.482)<br>nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO<br>and International Search Report not prepared by the EPO or JPO. .... <b>\$1080.00</b><br><br>International preliminary examination fee (37 CFR 1.482) not paid to<br>USPTO but International Search Report prepared by the EPO or JPO ..... <b>\$920.00</b><br><br>International preliminary examination fee (37 CFR 1.482) not paid to USPTO<br>but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... <b>\$770.00</b><br><br>International preliminary examination fee (37 CFR 1.482) paid to USPTO<br>but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... <b>\$730.00</b><br><br>International preliminary examination fee (37 CFR 1.482) paid to USPTO<br>and all claims satisfied provisions of PCT Article 33(1)-(4) ..... <b>\$100.00</b><br><br><b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b> |                              |              |                   | <b>CALCULATIONS PTO USE ONLY</b> |               |
|  |                              |              |                   | \$                               | <b>920.00</b> |
| Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than 30 months<br>from the earliest claimed priority date (37 CFR 1.492(e)).   |                              |              |                   | \$                               |               |
| CLAIMS   | NUMBER FILED                 | NUMBER EXTRA | RATE              | \$                               |               |
| Total claims   | <b>11<sup>1</sup> - 20 =</b> | <b>0</b>     | <b>x \$18.00</b>  | \$                               |               |
| Independent claims   | <b>1 - 3 =</b>               | <b>0</b>     | <b>x \$86.00</b>  | \$                               |               |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable)  |                              |              | <b>+ \$290.00</b> | \$                               |               |
| <b>TOTAL OF ABOVE CALCULATIONS =</b>   |                              |              |                   | \$                               | <b>920.00</b> |
| <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above<br>are reduced by 1/2.   |                              |              |                   | \$                               | <b>460.00</b> |
| <b>SUBTOTAL =</b>  |                              |              |                   | \$                               | <b>460.00</b> |
| Processing fee of <b>\$130.00</b> for furnishing the English translation later than 30 months<br>from the earliest claimed priority date (37 CFR 1.492(f)).  |                              |              |                   | \$                               |               |
| <b>TOTAL NATIONAL FEE =</b>  |                              |              |                   | \$                               |               |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be<br>accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). <b>\$40.00</b> per property +   |                              |              |                   | \$                               | <b>40.00</b>  |
| <b>TOTAL FEES ENCLOSED =</b>   |                              |              |                   | \$                               | <b>500.00</b> |
|  |                              |              |                   | Amount to be<br>refunded:        | \$            |
|  |                              |              |                   | charged:                         | \$            |

a. ☒ A check in the amount of \$ **500.00** to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees.  
 A duplicate copy of this sheet is enclosed.


c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any  
 overpayment to Deposit Account No. **23-0442**. A duplicate copy of this sheet is enclosed.

d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card  
 information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137 (a)  
 or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

**Ware, Fressola, Van Der Sluys &  
 Adolphson LLP**  
**Bradford Green, Building Five**  
**755 Main Street**  
**P.O. Box 224**  
**Monroe, CT 06468**

  
 SIGNATURE  
 James A. Retter  
 NAME  
 41,266  
 REGISTRATION NUMBER